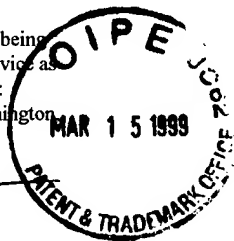


I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231 on March 10, 1999.



Name of Registered Representative:

Jonathan E. Retsky/Registration No. 34,415

3/10/99
Date of Signature

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PATENT
Case No. 8406/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application Of:

HOWARD B. GARBER

Serial No.: 08/868,200

Filed: June 3, 1997

Title: SYSTEM AND METHOD FOR
TRADING HAVING A PRINCIPAL
MARKET MAKER

Group Art Unit: 2765

Examiner: J. Patel

Assistant Commissioner For Patents
Washington, D.C. 20231

AMENDMENT

Dear Sir:

In response to the Office Action mailed December 23, 1998, Applicant submits the following amendments and remarks, and requests reconsideration of the application.

IN THE CLAIMS:

Please cancel claims 1-13, 24, 25, 33-36, and 49-55, without prejudice.

D